

## SUMMARY

The Central File Group (as part of the Technical Information Section of the Research and Development Department of Philip Morris U.S.A.) has the following responsibilities:

- administering the Company's records management policies and procedures ~~generally~~
- storing active (i.e., readily available) documents (original, copy, microform)
- specifying and maintaining the information in computer databases related to records management
- indexing and retrieving internal information
- providing microfilm services
- maintaining offsite storage for documents (inactive)
- maintaining the vital records program
- maintaining the security of the Department's records handled by The Central File

The documents involved are those produced by the technical staff for use:

- within the Department only
- outside the Department in other Philip Morris U.S.A. departments and Philip Morris Companies Inc.

Also included are those documents:

- originating outside the Department and Company and delivered to us.

The documents stored in The Central File can be classified into the following categories:

- Laboratory Notebooks
- Internal Reports (issued by PM/R&D personnel)
- Consultants' Reports
- External Reports (pertinent to PM/R&D programs from outside the Department or Company)
- Memoranda (freestanding internal documents)
- Correspondence (outgoing or incoming documents for external usage)

Details on the content and format of all the document types are described in Section VIII and the APPENDICES (Section IX).

LEAVE AS IS  
= "STET"

All documents in The Central File are considered confidential information as a minimum, and no such record or part thereof is to be duplicated in any way or passed to anyone without permission of The Central File or a Director/Vice President (if a restricted class type). Additional copies must be obtained from The Central File. Copies of confidential documents for non-PM/R&D personnel require a Director's approval (restricted documents require the Vice President's approval). Copies of restricted documents for Department-level distribution require the issuing Manager's approval. A section detailing distribution of Internal Reports is included.

Adherence to the Records Management Manual policies is to be considered a performance issue by employees and management.

This document's intent is to provide the overview and the detail necessary to allow the Department to manage its information and data in all formats effectively and efficiently.

## TABLE OF CONTENTS

<u>SECTION</u>	<u>PAGE</u>
Summary . . . . .	i
Table of Contents. . . . .	ii
I. Management Message . . . . .	1-1
II. Introduction . . . . .	2-1
III. Authority and Responsibility . . . . .	3-1
A. Overview. . . . .	3-1
B. Assignment of Responsibility and Authority. . . . .	3-1
IV. Computer Records . . . . .	4-1
A. Overview. . . . .	4-1
B. Definitions . . . . .	4-1
C. Procedures. . . . .	4-1
D. Disposal Suspension . . . . .	4-3
E. Records Disposal. . . . .	4-3
F. Disposal of Computer Records under Disposal Suspension. . . . .	4-3
G. Computer Record Regular Disposal Rules. . . . .	4-3
V. Records Retention Schedule . . . . .	5-1
A. Overview. . . . .	5-1
B. Maintenance Procedures. . . . .	5-3
VI. Records Disposal and Disposal Suspension Procedures. . . . .	6-1
A. Disposal. . . . .	6-1
B. Disposal Suspension and Release . . . . .	6-4

VII.	Security Procedures . . . . .	7-1
	A. Overview . . . . .	7-1
	B. Confidential Nature of Records . . . . .	7-1
	C. Vital Records . . . . .	7-2
	D. Department Records Security Procedures . . . . .	7-3
	E. Approval Levels Necessary to Release Documents (Chart) . . . . .	7-4
VIII.	Procedures for Handling Records . . . . .	8-1
	A. Laboratory Notebooks . . . . .	8-1
	B. Internal Reports . . . . .	8-3
	C. Consultants' Reports . . . . .	8-6
	D. External Reports . . . . .	8-6
	E. Memoranda . . . . .	8-6
	F. Correspondence . . . . .	8-7
IX.	APPENDICES . . . . .	
	A. Glossary . . . . .	9-1
	B. Departmental Record Retention Schedule . . . . .	9-4
	C. Suspension of Disposal as to Certain Categories of Records . . . . .	9-20
	D. Monthly Progress Report ("Redbook") Cover Sheet . . . . .	9-21
	E. Monthly Progress Report Document Format . . . . .	9-22
	F. Internal Report Cover Sheets . . . . .	9-23
	G. Internal Report Document Format . . . . .	9-25

## L. MANAGEMENT MESSAGE

---

Philip Morris Research and Development Department records and information are valuable corporate assets. Everyone has a responsibility to manage company assets, including our records. Through the years, The Central File has provided guidelines for the consistent management of these assets and for fulfilling our legal and ethical obligations.

This internal report collects in one place the policies and procedures the Department uses to assure the proper maintenance, protection and disposal of company records and information assets in the most efficient and cost-effective manner. You should take time to familiarize yourself with the philosophies and procedures of this important program so that you will be able to carry out your responsibilities for Philip Morris U.S.A.

---

Kenneth S. Houghton, Ph.D.  
Vice President, Research and Development Department  
Philip Morris U. S. A.

2054911784

## II. INTRODUCTION

---

AAA  
STBT  
The Records Administration System Guidelines for the Research and Development Department (R&D) provide the information needed to manage the Company's records properly, efficiently and economically. This manual consolidates and updates the procedures and instructions issued previously by Philip Morris U.S.A. and the Technical Information Section (TIS) in matters pertaining to its records, data, and information (PPI-05-300/3-25-85; R&D, IR86-094/5-1-86)). Many of these procedures were originally designed for hard-copy records: this revision of IR86-094, updates the procedures to fit our printed and electronic document generation, movement, and storage. ←

Thus, this manual applies to R&D and its records management function which includes:

- The Central File - administration and disposition of company records.
- Computer Applications Division - temporary storage of textual documents electronically.
- Research & Development Department staff.

### III. AUTHORITY AND RESPONSIBILITY

#### A. OVERVIEW

2 > This section of the Records Administration System Guidelines describes the individuals and groups with authority and responsibility for proper implementation and maintenance of the Philip Morris Research and Development Program.

#### B. ASSIGNMENT OF RESPONSIBILITY AND AUTHORITY

##### 1. PHILIP MORRIS U.S.A. LEGAL DEPARTMENT

A member of the Philip Morris U.S.A. Legal Department is responsible for the legal aspects of the Records Administration System Guidelines.

###### Responsibilities:

- a. Review retention policy and retention schedules for legal compliance.
- b. Notify appropriate department personnel of any records which, due to existing or pending litigation or investigations, audits, or other reasons, must not be disposed of as scheduled, and notify same for removal of any disposal suspension.
- c. Serve as legal counsel.

##### 2. FUNCTIONAL HEAD

Functional heads are responsible for the administration of all records in their area. The functional head for the Research and Development Department is:

The Vice President - Research and Development

###### Responsibilities:

- a. Ensure compliance with all approved records administration procedures and standards.
- b. Approve official retention schedules and recommend any subsequent modifications.
- c. Ensure that all records scheduled for disposal are handled in accordance with retention schedules and suspension notices.
- d. Ensure the identification and protection of vital records for his/her functional area.

2054911786

### 3. SUPERVISOR, INTERNAL INFORMATION SERVICES

The functional head appoints a Supervisor, Internal Information Services in The Central File for his/her department(s). This Individual is responsible for the operation of the Records Administration Guidelines within their respective department. The Supervisor, Internal Information Services in The Central File is the department's Record Coordinator.

#### Responsibilities:

- a. Function as liaison between the department(s) and the Joint Records Management Task Force.
- b. Implement and maintain the Records Management Program within the department.
- c. Coordinate the transfer and disposition of records.
- d. Attend training on Records Management Program policies and procedures.
- e. Assist with ongoing staff training.

### 4. DIVISION MANAGEMENT

The Division Management within each Research and Development Department Directorate is responsible to ensure that the individual employee responsibilities are followed within his/her division as a performance criterion.

### 5. EMPLOYEES

All employees, as a term of employment and as part of their performance appraisal, are responsible for ensuring that records maintained by them are properly identified, retained, transferred, and disposed of in accordance with the Records Administration System Guidelines. All records created by or received by an employee are to be handled in accordance with one of the retention categories listed on the retention schedule applicable to his/her records. Employee compliance is a performance issue and non-compliance may result in disciplinary action.

#### Responsibilities:

- a. Maintain laboratory notebooks as described.
- b. Insure that a copy of all correspondence and memoranda that are issued are sent in paper form or electronic form to The Central File.
- c. If any change is made to a document and issued, after its original issuance date, an updated or new copy must be sent to The Central File.
- d. Destroy all records whether in hard copy or electronic format according to the Research and Development Department Retention Schedule or before the end of the retention period.

2054911787

## IV. COMPUTER RECORDS

### A. OVERVIEW

The purpose of this section is to establish guidelines for the disposition of computer (machine readable or electronic) records. These records include: electronic mail, removable computer media, fixed computer media, and facsimile/telecopy media.

### B. DEFINITIONS

1. Electronic Mail - A communication produced using an electronic messaging system such as E-Mail or PROFS.
2. Computer Media for Text - Removable or fixed media for the storage of text information in electronic form. Examples are: diskettes, disks, computer tape, fixed disks, and optical media.
3. Computer Media for Data Processing - Removable or fixed media for the storage of data in electronic form. Examples are: diskettes, disks, computer tape, fixed disks, and optical media.
3. Facsimile/Telecopy - Text and graphic information transmitted via telecommunication systems.

### C. PROCEDURES

1. Electronic Mail. Electronic mail is treated as a communication similar to a telephone conversation. Electronic mail can be substantive (documentation that should be retained) or transitory (information that has no long term need to be retained). Transitory electronic mail can be disposed of by the originator and recipients based on their administrative need for the message. **At a minimum, transitory messages should be reviewed and purged quarterly. If an electronic mail message is substantive, the retention of the message (magnetic media and/or paper) must comply with the applicable retention schedule.** At the time a substantive electronic mail message is initiated, **the originator** should place the disposal date to the message to facilitate compliance with the Records Administration System Guidelines, that is, no more than one year and the recipient of electronic mail and the originator must destroy their copies. Additionally, all substantive electronic mail should have a copy in The Central File.



2. Computer Media for Text. Text records can exist on computer media and/or paper. The disposition of text records (computer media and/or paper) must comply with the applicable retention schedule. **Signatory text documents must be produced in paper form for the official file copy.** At the time a text record is created on computer media, the disposal date should be included as part of the document heading, as "Disposal Date." The Disposal Date is based on the Record Retention Schedule. Signatory documents are those which are the final copy and/or are the official document for the permanent document collection. Text records are those which convey a message concerning the business of the company. They usually include interpretations, conclusions, etc. concerning the subject matter being discussed.
3. Computer Media for Data Personal Computers. Records generated by personal computers can exist on computer media and/or paper. The disposition of records (computer media and/or paper) must comply with the applicable retention schedule. At the time a record is created on computer media, a disposal date should be included to facilitate compliance with the Records Administration System Guidelines.
4. Computer Media for Data Department Systems. Hard copy output and computer-output-microform (COM) from these computer systems must comply with the applicable retention schedule. It is the responsibility of the receiving department to ensure that these non-magnetic media copies are maintained according to the appropriate retention schedule. Department data processing staff ensure maintenance and disposal of machine readable records for these systems.
5. Facsimile/Telecopy Records. Text and graphic information transmitted or recieved by facsimile/telecopy are handled like regular paper records. If the facsimile/telecopy record is produced on coated paper, it must be copied on regular bond paper for The Central File copy. The original telecopy on coated paper can be disposed of after the bond copy is made and handled according to previously discussed procedures.

#### **D. DISPOSAL SUSPENSION (See Section VI, also)**

Upon receipt or notification of a Disposal Suspension Notice, it is imperative that all computer records be suspended from the regular disposal process of the Records Management Program. As with hard copy records, computer records subject to Disposal Suspension should be secured in a safe place and access to them should be restricted to those employees who have a business reason to use them. Employees using these records must be cautioned not to dispose of, mutilate, or alter them in any way.

#### **E. RECORDS DISPOSAL (See Section VI, also)**

If computer records have been supplied to The Central File in paper form, then it is the author's (the person who originally created the records) responsibility to destroy delete his/her computer records. This must be done on a regular basis and the retention of the records cannot exceed that of the department's retention schedule. This will be a measure for performance appraisal and monitored by Directorate and Division management with the assistance of the Technical Information Section and/or Computer Applications Division personnel acting as an intra-department audit committee.

#### **F. DISPOSAL OF COMPUTER RECORDS UNDER "DISPOSAL SUSPENSION"**

If a hard-copy version of a computer record has been supplied to The Central File, then the computer record must be deleted from the electronic file prior to the limit indicated by "Local" on the Retention Schedule by the author. This holds, also, for computer records transferred electronically to The Central File.

#### **G. COMPUTER RECORD REGULAR DISPOSAL RULES**

1. The magnetic tape library used as "back-up" for the Research and Development Department data, documents, records, etc., will be purged by the Computer Applications Division no later than 30 days after its creation.
2. The magnetic tape library used as the "archive" for the convenience of the Research and Development Department staff shall be used only for non-textual data or (such data) for future comparisons. Textual documents are not to be stored in this fashion.

## **V. RECORDS RETENTION SCHEDULE**

---

### **A. OVERVIEW**

The Philip Morris U.S.A. Records Management Program administered by the Joint Records Management Task Force controls the retention and disposition of all corporate records. The policy governing the length of retention of all types of company records is communicated through records retention schedules. These consolidated schedules of records apply to all records throughout the Philip Morris U.S.A. organization, and apply to all records formats such as paper, computer media, microform and photographic media.

### **1. RETENTION SCHEDULE**

The records retention schedules ensure that records are kept long enough to meet business needs as well as legal and regulatory requirements. Those records that have been retained for the period of time specified in the applicable records retention schedule are to be disposed of in accordance with specified procedures, unless their disposal has been suspended. The Research and Development Department's "Records Retention Schedule" is APPENDIX B, pages 9-4 through 9-19.

### **2. BENEFITS**

The Records Management Program ensures:

- A. Proper, efficient, and economic management of records.
- B. Transfer of inactive records to lower-cost storage facilities, which improves filing and retrieval times for active office records and reduces the costs of maintaining records.
- C. Periodic and systematic removal and disposal of obsolete and useless records, which reduces storage costs and time spent in filing and retrieval operations.
- D. Compliance with legal, regulatory, fiscal and operational requirements.
- E. Conversion to a microform and/or optical medium at a predetermined time, which reduces storage requirements and aids in space planning.

### **3. RETENTION SCHEDULE CONTENT**

The retention schedules identify the approved record groups and the prescribed retention requirements for documents in each. The retention schedules set forth the length of time records (in years) are to be maintained as active records by the originator and recipient of documents as indicated by the "Local" designation and The Central File. Inactive records in storage and the total retention period are elements of The Central File responsibilities.

2054911791

In addition to length of retention, the schedule includes the following elements:

- A. Functional Area: name of functional area, or grouping of similar record categories.
- B. Issued: date records retention schedule was issued.
- C. Name of Record: the title or description of the records category.
- D. Retention in Department: length of time records within this category are to be retained in a department as active records (by an individual or group, called LOCAL).
- E. Retention in The Central File: length of time records within this category are to be retained in a records center as active records.
- F. Official File Location: name of the department or facility which has the official copy, which for R&D is The Central File.
- G. Department No.: the cost center number.
- H. Sheet: the page numbering of the schedule.
- I. Key to Retentions: definition of codes used for retention periods.
- J. Authorization: signatures of individuals who approved the retention schedule.

2054911792

## **V. RECORDS RETENTION SCHEDULE**

---

### **B. MAINTENANCE PROCEDURES**

#### **1. APPROVALS AND AUTHORIZATIONS**

- A. The record groups and retention periods reflected in the retention schedules cannot be changed, deleted or created except with the approval of the Joint Records Management Task Force.
- B. Records Coordinators may submit a completed Retention Schedule Maintenance form, authorized by the functional head, justifying any recommended changes to the Joint Task Force.
- C. The Joint Task Force may consult with the Philip Morris U.S.A. Finance and Legal Departments as appropriate in considering whether to approve, modify or deny the requested change.

#### **2. REGULAR REVIEW AND UPDATE**

The Philip Morris U.S.A. Research & Development Department Retention Schedules will be periodically reviewed by The Central File. The Joint Task Force will review them for accuracy and comprehensiveness, consistent with the ever-changing business needs of the company. Record groups may be added or modified or retention periods may need to be altered. Any modifications of the schedules must be clearly documented for the Joint Records Management Task Force consideration.

2054911793

# RETENTION SCHEDULE MAINTENANCE

Records Coordinator: \_\_\_\_\_ Department: \_\_\_\_\_

Originated By: \_\_\_\_\_ Date: \_\_\_\_\_

Record Category Title: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Record Category Description/Use: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Suggested Code (optional): \_\_\_\_\_

Reason For Addition/Change: \_\_\_\_\_ Internal Practice OR \_\_\_\_\_ Regulation or Law  
(attach copy of regulation or law)

Department Which Maintains Original/Record Copy: \_\_\_\_\_

Record Media: \_\_\_\_\_ Vital (Y/N): \_\_\_\_\_

Administrative Retention (e.g., 1, 5, P, etc):

Active: \_\_\_\_\_ Inactive: \_\_\_\_\_

## RETENTION KEY

C = Current Year

P = Permanent

SUP = Superseded

TER = Terminated

Functional Head Approval: \_\_\_\_\_ Date: \_\_\_\_\_

\_\_\_\_\_

## FOR RETENTION REVIEW USE

Legal: \_\_\_\_\_ By \_\_\_\_\_ Date: \_\_\_\_\_

Finance: \_\_\_\_\_ By \_\_\_\_\_ Date: \_\_\_\_\_

Joint Task Force: \_\_\_\_\_ Date: \_\_\_\_\_

File Code \_\_\_\_\_ Retention Period: \_\_\_\_\_ (Active) \_\_\_\_\_ (Inactive)

System Update Completed (date & initials): \_\_\_\_\_

Departmental Retention Schedule Revised (date & initials): \_\_\_\_\_

## VI. RECORDS DISPOSAL AND DISPOSAL SUSPENSION PROCEDURES

Records are disposed of by the Supervisor, Internal Informal Services when authorized to do so by the record retention schedule and disposal process, unless subject to disposal suspension. The Research and Development Department is currently operating under a "disposal suspension."

### A. DISPOSAL

#### 1. AUTHORIZATION AND DOCUMENTATION

##### a. PROCEDURES

Destruction Notices will be issued by the Supervisor, Internal Information Services (the Records Coordinator for R & D) located in The Central File on a regular basis, but not less than annually. These Destruction Notices will be based on the retention schedules and will be issued as records become due for disposal.

Upon receipt of these notices, the Supervisor, Internal Information Services will ensure that the records scheduled for disposal are reviewed against the current list of records suspended from disposal in APPENDIX C and any other applicable exceptions to the records retention schedules before he or she authorizes their destruction. Thereafter, if appropriate, the functional head will sign the Destruction Notice to authorize disposal and will transmit the form to the Supervisor, Internal Information Services, who is responsible for disposing of the records. At the time the records are disposed of, the person handling disposal shall then sign and date the Destruction Notice certifying the appropriate disposition of the records. The Destruction Notice must then be returned to the Supervisor, Internal Information Services.

##### b. WORKING/CONVENIENCE COPIES

Working/convenience copies are copies of records made for temporary use by an individual working on a particular project or endeavor. Working/convenience copies are retained only as long as needed. At no time, should working/convenience copies be maintained longer than the retention period for "Local" retention. They may be disposed of at any time without formal authorization so long as they are not subject to a Disposal Suspension Notice. As with disposal of computer copies, working/convenience copies, i.e., drafts, must be disposed of on a regular basis. **If a final copy is altered in any way such that it contains information supplementing or changing the document content, it is a new document and must be submitted to The Central File for proper record management procedures.**

2054911795

### **c. RECORD COPIES**

Record (official) copies are retained according to the retention schedule and are not disposed of until authorized through the record disposal procedures used by The Central File.

The Central File is responsible for preparing and distributing Records Disposal Notices on a regular basis for approval by department heads as records become due for disposal according to the record retention schedule.

If a modification or suspension of the retention schedule is deemed necessary as to records scheduled for disposal, The Central File will certify on the Notice the circumstances justifying the retention modification or suspension and return it to the Joint Task Force.

## **2. RECORDS DISPOSAL METHODS**

### **a. METHODS**

The standard method of disposal is by shredding, incinerating, or disintegrating on-site or through an approved outside vendor. All disposal must be conducted in a secure and confidential manner. If in doubt about such procedures, advice should be sought from The Central File.

### **b. MICROFORM RECORDS**

Microform records for which the original paper copy no longer exists are disposed of using the same procedures as for hard copy disposal. Microform records for which the original paper copy still exists are reconciled before disposal.

### **c. SUPERSEDED RECORDS**

After microfilming of current records designated as retained until superseded, the prior roll of film is kept according to the applicable retention schedule.

Hard copies are retained until the microform is received and reviewed and are then disposed of in accordance with the procedures.

2054911796



## NOTICE OF

- ☐ **DISPOSAL SUSPENSION.** The disposal of the records described below is hereby suspended until further notice.
- ☐ **DISPOSAL SUSPENSION RELEASE.** The disposal suspension of the records described below is hereby released.

**TO:** 1. \_\_\_\_\_ **DATE:** \_\_\_\_\_  
(records management group)

2. **Records Coordinator:** \_\_\_\_\_  
(name)

3. **Department Head:** \_\_\_\_\_  
(name)

4. **Others:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**INITIATED BY: Philip Morris Corporate Tax:** \_\_\_\_\_  
(name)

**Philip Morris U.S.A. Legal  
Department Representative:** \_\_\_\_\_  
(name)

**REASON FOR SUSPENSION/RELEASE** \_\_\_\_\_

**GENERAL DESCRIPTION OF RECORDS** \_\_\_\_\_

2054911797

## **VI. RECORDS DISPOSAL AND DISPOSAL SUSPENSION PROCEDURES**

### **B. DISPOSAL SUSPENSION AND RELEASE**

Philip Morris U.S.A. policy requires that disposal of relevant records be suspended due to pending or threatened litigation, governmental proceedings/investigations, audits and other considerations. Disposal procedures are suspended and the records should be secured in a safe place. Access to them should be restricted to those employees who have a business reason to use them. The records should be marked clearly to indicate their suspension from disposal and employees using them should be admonished not to dispose of, mutilate, or alter them in any way. Notification of a disposal suspension and the removal of such a suspension will come from either the Philip Morris U.S.A. Legal Department representative or the Philip Morris Corporate Tax Department.

#### **1. NOTIFICATION OF DISPOSAL SUSPENSION**

The Philip Morris U.S.A. Legal Department representative and the Philip Morris Corporate Tax Department are responsible for notifying appropriate Records Coordinators, responsible records management groups, and appropriate employees of any pending or threatened litigation or investigation, audits, or other circumstances that might affect the retention of records in their areas or departments. When disposal suspension is necessary, either the Philip Morris U.S.A. Legal Department representative or the Philip Morris Corporate Tax Department will issue a Disposal Suspension Notice and forward such form to the responsible records management group and appropriate department personnel, including the department head and the Records Coordinator. [See Appendix C for topics subject to disposal suspension as records potentially related to smoking and health.] These individuals must then communicate or distribute the Disposal Suspension Notice to all affected employees.

Any records collected or copied for the purposes of ongoing litigation or investigation must be retained. Also, records stamped with a "C," "C1," "C2," etc. and cartons or file folders to which a round, red label are attached have been copied for ongoing litigation or investigation and are under Disposal Suspension. Other, similar methods may be used from time to time to indicate that certain records have been copied for ongoing litigation or investigation or that specific files or cartons are under Disposal Suspension.

Please keep available in this binder all Disposal Suspension Notices or instructions you receive from any sources.

#### **2. DISPOSAL SUSPENSION RELEASE**

When the disposal suspension is no longer necessary, either the Philip Morris U.S.A. Legal Department representative or the Philip Morris Corporate Tax Department will prepare a Disposal Suspension Release Notice and forward such form to the appropriate records and department personnel, including the department head and the Records Coordinator of the relevant department. Records released from disposal suspension are then governed by the retention periods set out on the applicable records retention schedules.

2054911798

# NOTICE OF DISPOSAL SUSPENSION OR RELEASE

2054911799

## VII. SECURITY PROCEDURES

---

### A. OVERVIEW

All of Philip Morris U.S.A.'s records are to be treated as confidential. No record may be disclosed to any outside individual or entity unless the disclosure is for the purpose of conducting the Company's business and is made with proper authority.

All of the Company's records must be protected and secured. Some records, however, require special security measures. For example, it is imperative that copies of vital records be absolutely protected against catastrophic loss. Other records, such as financial, personnel, research, marketing or purchasing information, may not require the same protection as vital records but do need additional security measures to protect against loss of these records or their unintended disclosure.

It is the responsibility of line management and every employee to protect and secure the Company's assets, including its records. Functional heads are directly responsible for the security of all records maintained in their area.

### B. CONFIDENTIAL NATURE OF RECORDS

All of the Company's records are considered the business of Philip Morris U.S.A. only and are to be treated as confidential.

The following are the minimum security measures which are applicable to all of the Company's records:

1. Records are to be kept in authorized storage areas in Company offices.
2. Records may be temporarily removed from Company offices only with proper authority and for the purpose of conducting the business of the Company. As a general rule, records should not be taken home by an employee. Any records taken home must be returned as soon as their use at home is completed. **Records are not to be stored at home.**
3. Records temporarily removed from Company offices are to be returned as soon as the business justification for their removal has expired.

## C. VITAL RECORDS

Certain records are essential to the continuation or reconstruction of the Company's business, or are necessary to substantiate or defend legal or financial claims for or against the Company. Such records are considered vital when reconstruction of the information contained in them would be too costly.

1. IDENTIFICATION AND METHODS OF PROTECTION. The Central File is responsible for identifying the vital records within the department and developing written procedures to protect these records. The Joint Records Management Task Force has final authority to approve the designation of records as vital.

The determination to designate a record as vital is based on:

- a. the extent to which its loss would delay restoration of Philip Morris U.S.A. operations,
- b. the extent to which its unavailability would delay recovery of monies with which damaged or destroyed buildings and equipment could be replaced,
- c. the relative difficulty involved in replacing or reconstructing the record, i.e., whether legally acceptable copies are available from governmental, commercial or private sources for a reasonable cost and in an acceptable time, and
- d. the extent to which loss would involve duplication of research/development activities, or a loss to the knowledge base of the corporation.

The Records Coordinator will develop written procedures for the protection of vital records. These procedures will be submitted to the Joint Records Management Task Force for approval and will contain the following information: the identification and the location of records to be designated as vital; the reasons why such records are vital; and the method by which each category of vital records will be protected. Vital records must be protected both by duplication and by dispersal (storage in a structure other than where the original is located) or storage in a vital records center.

Copies of the approved functional area vital records procedures will be maintained in the functional area and in its supporting records center.

2. MODIFICATIONS. Recommended additions, deletions and changes to the vital records designations or functional area protection procedures should be submitted by The Records Coordinator to the Joint Records Management Task Force. The nature of and reason for recommended changes should be provided.

2054911801

3. IRON MOUNTAIN SECURITY STORAGE FACILITY. Vital records will be stored at the Iron Mountain Security Storage Facility. The Records Coordinator will handle the transfer of the vital records to be stored at Iron Mountain. Iron Mountain staff will record all records received with the following information: the date received, and transfer container number.

3. DISPOSAL. Vital records, wherever stored, will be disposed of in accordance with the retention schedule and in accordance with the disposal procedures.

#### D. DEPARTMENT RECORDS SECURITY PROCEDURES

Functional heads are responsible for the protection of all records maintained in their areas. Functional heads will determine whether written procedures for the security of their records are necessary. Each functional head should review the security procedures generally applicable to the facility(ies) and structure(s) where functional area departments are located. The following are examples of special security measures which may be employed: locked file cabinet or drawer; under a double lock system --locked file cabinet within a locked room; and a limited access area with sign-in/sign-out requirements and key control.

Copies of departmental records security procedures are to be forwarded to the Joint Records Management Task Force and to the supporting records center.

Active records subject to special security measures within departments should be identified when these records are transferred to inactive storage. Functional heads are to consult with Joint Records Management Task Force to determine if special security measures are necessary for such records in inactive storage.

1. As stated previously, all documents handled by The Central File are considered CONFIDENTIAL as the minimum status. Any regular, permanent employee of the Department can see any CONFIDENTIAL document upon request.
2. The documents classified as RESTRICTED can be obtained by any regular permanent employee of the Department with the approval of the Manager of the issuing Division (or Director).
3. For any non-Department employee of Philip Morris U.S.A.: release of a copy of a CONFIDENTIAL document requires a Director's approval or release of a copy of a RESTRICTED document requires a Vice President's (of R&D) approval.
4. For anyone who is not an employee of Philip Morris U.S.A., release of any document requires a Vice President's (of R&D) approval.

5. Copying of any document issued by The Central File is prohibited. All documents issued by The Central File are "tracked" by an automated circulation system and a "history" of documents issued to individuals (check-in/check-out/destroyed) is maintained. Copies of documents must be obtained from The Central File, not reproduced from another's copy.

APPROVAL LEVELS NECESSARY TO RELEASE DOCUMENTS

Class of Document Status of Requestor	R&D Employee	PM U.S.A. Employee	Other PM Companies Employee	Non-PM Employee
Confidential	No Approval Necessary	Director's Approval (Of Issuing Directorate)	Director's Approval (Of Issuing Directorate)	Vice President's Approval
Restricted	Division Manager	Vice President's Approval	Vice President's Approval	Vice President's Approval

2054911803

## VIII. PROCEDURES FOR HANDLING RECORDS

---

### A. LABORATORY NOTEBOOKS

1. The Central File issues the Laboratory Notebooks to individuals, upon request. An individual is entitled to only one Notebook at a time, under normal circumstances.
2. Each individual is responsible for the security of his/her Laboratory Notebook. A database is maintained to "track" the history of the Laboratory Notebook.
3. A new Laboratory Notebook will be issued upon return of a completed notebook. All completed Laboratory Notebooks are to be signed, countersigned, dated for patent protection and the Table of Contents completed, prior to submission to The Central File. The Division Manager's signature is required also, indicating that he/she has reviewed the Laboratory Notebook.
3. Completed Laboratory Notebooks are microfilmed and the indexed material (Table of Contents) will be entered into the information storage and retrieval system. The Laboratory Notebook can be returned to the writer or stored off-premises in a secured area.
5. All Laboratory Notebook material is confidential but may be viewed by the professional staff on a request basis in The Central File.
6. Each scientist is responsible for, and must maintain an accurate and descriptive Table of Contents to the Laboratory Notebook. This item is very important for information retrieval purposes involving Laboratory Notebooks. Thus, the title of a particular experiment must be indicative of the nature of the experiment and the most important experiments in the Laboratory Notebook should be clearly marked by a colored highlighting pen in the Table of Contents.
7. The automated charge-out system records the location of all Laboratory Notebooks and the individuals responsible for them. Audits are conducted by The Central File. Each individual will receive a list noting the Laboratory Notebooks for which he/she is accountable. Upon termination of employment or transfer to another department within the Company, all Laboratory Notebooks charged to an individual are to be returned to The Central File.
8. The twelve (12) items below are those REQUIRED by the Company's Patent Group in Laboratory Notebook usage:
  - a. Make entries in ink.
  - b. Date each entry.
  - c. Make entries on the day the work is done.
  - d. Write or print clearly.

2054911804



- e. Describe any procedure, no matter how routine, the first time it appears or identify it as a standard procedure.
  - f. Blank spaces on a completed page should be neutralized with a diagonal line or the like. Do not skip pages.
  - g. Each page shall be signed and dated at the bottom. It shall be witnessed by one who understands the entries but is not directly involved with the work.
  - h. Make corrections without erasure, by putting a single line through wrong entries, inserting corrections, and initialing and dating at the margin.
  - i. Table of Contents must be completed.
  - j. Pages are not to be removed from the Laboratory Notebook.
  - k. Titles of experiments must be sufficiently graphic to describe the work and make a Table of Contents usable for information purposes.
  - l. Any materials such as computer printouts, instrument charts, etc., must be glued into the book (white glue).
9. The eleven items below are DESIRABLE from a legal viewpoint.
- a. Black or blue-black ink - permanent type.
  - b. Top of each page and/or new experiment: Laboratory Notebook Number; keywords or similar identification of experiment.
  - c. Complete one page before making entries on the next, whenever possible.
  - d. Identify code terms, trademarks, abbreviations, acronyms or the like, at least the first time each appears in the experiment.
  - e. Witness pages within two weeks of completion.
  - f. When charts or the like are attached to a page, note at the side that there are no entries beneath the attachment.
  - g. If charts or any other additional materials which do not reside in the Laboratory Notebook are referenced and kept in an auxiliary book such as a three-ring binder, these additional materials must be cross-referenced in the Laboratory Notebook and the materials kept elsewhere, but treated the same as those in a Laboratory Notebook.
  - h. Err on the side of too much description.
  - i. Try to draw conclusions but avoid flatly negative statements; do not editorialize.
  - j. Make note of reasons for unusual delays.
  - k. Store notebooks in locked files or desks.

2054911805

## B. INTERNAL REPORTS

### 1. Research reports are classified in four categories:

- a. Monthly Progress Reports: This short summary report is written monthly or bimonthly by the facility, project, or section leader as a record of project results achieved within the reporting period. (See APPENDICES D and E, pages 9-21 and 22 for cover sheet and format.)
- b. Annual Report: This detailed report summarizes the accomplishments of a project during the indicated time period. This report does not follow necessarily the calendar year. (See APPENDICES F and G, pages 9-23, 24, 25 for format and cover sheet)
- c. Completion Report: At the termination of a program within a project, facility, or section, a report should be written which summarizes the findings and results of a particular program. (See APPENDICES F and G, pages 10-23, 24, 25 for format and cover sheet). All memoranda and correspondence associated with this type of report should be submitted and referenced with the report.
- d. Special Report: This report transmits information of a topical nature. This report is the result of a demand evaluation, literature search, or investigation or a summary of various conferences, symposia, trips, etc. (See APPENDICES F and G pages 10-23, 24, 25) for format and cover sheet). All memoranda and correspondence associated with this type of report should be submitted and referenced with the report.

### 2. Procedure for Issuing an Internal Report:

- a. Report is written and approved within the author's Division.
- b. Typed report (original) with the standardized cover sheet is given to The Central File.
  - (1) Accession number is assigned.
  - (2) Non-Research and Development Department distribution is verified.
  - (3) Duplication Services produces the required copies when necessary.
  - (4) The Central File issues document.
- c. Any document distributed by The Central File provides a record of the holders of documents as the name and location of those receiving documents are maintained in a computerized circulation file.
- d. All reports are microfilmed and the hard copies are stored offsite. Reports may be viewed by the professional staff on a request basis using the CONFIDENTIAL/RESTRICTED criteria covered in Section VII, pages 7-3 and 7-4.

2054911806

- e. All reports are indexed and placed in the information storage and retrieval system by Central File personnel. The Central File maintains an online database containing information on all reports for retrieval by:

DN	Accession Number
AU	Author
TI	Title
DI	Distribution
DT	Date of Issue
PN	Project Number
ABS	Abstract (for Internal Reports only)
ST	Status (if RESTRICTED)
KW	Keywords
TY	Report Type
CORR	Spell Corrected
PD	Purge Date
DE	Date Entered
UE	Entered By
UU	Updated By
DJ	DATE UPDATED
LS	LITIGATION SUPPORT

3. Outside the Department ~~LITIGATION SUPPORT~~ PGN PROGRAM NAME

The distribution of an Internal Report for non-department personnel will remain as it was formerly, that is, the author(s) and the responsible manager will determine this and supply it with the final copy of the document for distribution after receiving the approval of the appropriate director.

4. Confidential Internal Reports

- As stated previously, all documents handled by The Central File are considered CONFIDENTIAL as the minimum status. Any regular, permanent employee of the Department can see any CONFIDENTIAL document upon request unless it is "restricted."
- For any non-Department employee of Philip Morris U.S.A.: release of a copy of a CONFIDENTIAL document requires a Director's approval.
- For anyone who is not an employee of Philip Morris U.S.A., release of any document requires a Vice President's (of R&D) approval.
- Copying of any document issued by The Central File is prohibited.** All documents issued by The Central File are "tracked" by an automated circulation system and a "history" of documents issued to individuals (check-in/check-out/destroyed) is maintained. Copies of documents must be obtained from The Central File, not reproduced from another's copy.

## 5. Restricted Internal Reports

- a. There are certain types of Internal Reports which require a limited distribution due to the nature of the report content. Research and Development Department areas where this may apply are:
  - tobacco blends,
  - flavor development,
  - biochemical investigations,
  - economic forecasting,
  - market research,
  - financial plans, etc.
- b. On request by a Manager or Director, such Internal Reports can be identified as:

### RESTRICTED DISTRIBUTION APPROVAL BY (POSITION/TITLE)

Restricted Distribution is limited to those named in the Distribution area of the Internal Report cover. If this area contains the names of only R&D personnel, approval by a Manager is sufficient. If the area contains the names of personnel outside the R&D Department, the Director's or Vice President's approval is required. In either case, any R&D employee wishing to view or obtain a photocopy of a report with Restricted Distribution first must have the approval of the Manager or Director who initially approved it.

- c. The documents classified as RESTRICTED can be obtained by any regular permanent employee of the Department with the approval of the Manager of the issuing Division (or Director).
- d. For any non-Department employee of Philip Morris U.S.A.: release of a copy of a RESTRICTED document requires a Vice President's (of R&D) approval.
- e. For anyone who is not an employee of Philip Morris U.S.A., release of any document requires a Vice President's (of R&D) approval.
- f. **Copying of any document issued by The Central File is prohibited.** All documents issued by The Central File are "tracked by an automated circulation system and a "history" of documents issued to individuals (check-in/check-out/destroyed) is maintained. Copies of the documents must be obtained from The Central File, not reproduced from another's copy.

g. A "Restricted Distribution" is the only case where a Distribution list is necessary for Department circulation.

6. Completion of major work efforts (that is, those which have a natural start and finish and where conclusions are drawn) should be summarized and referenced. This can be a Special or Completion Report.
7. An automated charge-out system is used to record the holder and location of all reports. Individuals are responsible for those items assigned to them. An audit is conducted periodically by listing all reports assigned to an individual. Any report not being used should be returned to The Central File for disposal.
8. All reports and other documents are to be returned to The Central File when an employee leaves PM/R&D for employment within PM or with other organizations.
9. The author(s) of a report is responsible for writing an **INFORMATIVE** abstract for the report. This abstract of up to 200 words is very important to the information retrieval system. Keywords or word phrases which are not used in the abstract can be placed in the Keyword Section. Use the Keyword Section for hyphenated phrases.
10. Reports are for use by PM/R&D employees exclusively. No report or part thereof is to be duplicated or given to anyone. Outside distribution has to be approved by a Director/Vice President of Research and Development. R&D-generated information is proprietary Company information and as such is confidential or possibly restricted.

#### C. CONSULTANTS' REPORTS

All the rules and formats used for Internal Reports hold for Consultants' Reports.

#### D. EXTERNAL REPORTS

All the rules and formats used for Internal Reports hold for External Reports.

#### E. MEMORANDA (MEMOS)

All freestanding memoranda (that is, those not attached to a report) should be given a descriptive title in order that they may be entered into the database for retrieval. A freestanding memorandum is one that, for example, contains an original idea and body of work, and draws a conclusion. The length is immaterial, keywords, phrases and project numbers should be high-lighted. Memoranda are documents for usage within the Company.

2054911809

## F. CORRESPONDENCE

All other written documents fall under this heading. All documents, either internal or external, should have the words or phrases that best describe the document marked by a colored highlighting pen by someone in the group issuing the document, i.e., author or secretary, since they are most familiar with the subject and the document. Other information can be annotated by adding it in the margins, such as project numbers, etc. Correspondence are outgoing or incoming documents intended for usage outside the Company.

## G. SUMMARY OF APPROVAL LEVELS NECESSARY TO RELEASE DOCUMENTS

Class of Document Status of Requestor	R&D Employee	PM U.S.A. Employee	Other PM Companies Employee	Non-PM Employee
Confidential	No Approval Necessary	Director's Approval (Of Issuing Directorate)	Director's Approval (Of Issuing Directorate)	Vice President's Approval
Restricted	Division Manager	Vice President's Approval	Vice President's Approval	Vice President's Approval

## **IX. APPENDICES**

**2054911811**

**ACTIVE RECORDS** - Records used on a regular basis, or more than once a month.

**ALPHABETIC FILING** - Arrangement of records in accordance with the alphabet. Materials may be by subject, name, place or organization.

**ALPHA-NUMERIC** - A filing system combining features of alphabetical and numerical arrangements.

**ARCHIVES** - The fireproof vault or file room for the control, storage and protection of historical documents.

**CENTRALIZED FILES** - The files of several organizational units physically grouped in one location.

**CHRONOLOGICAL FILING** - Filing in sequence according to date. When records are filed in this manner, the latest date is usually at the beginning.

**COMPUTER ASSISTED RETRIEVAL** - System that combines on-line data and supportive text or graphic information into a common system controlled by and accessed through a computer.

**COMPUTER OUTPUT MICROFORM (COM)** - A process of converting computer data directly to microform without any intermediate paper records.

**CONVENIENCE FILES** - Unofficial desk files or other unofficial files and duplicate copies physically located near the point of use for convenient reference. Sometimes called "working" files.

**DECENTRALIZED FILES** - Records located and maintained in or near the offices immediately responsible for the functions in connection with which they are accumulated.

**DISPOSAL SUSPENSION** - A procedure to stop, temporarily or permanently, the disposal of records because they might be needed for an audit, investigation, court case or other specified basis. This may be issued by the Philip Morris U.S.A. Legal or Finance Departments.

**DUPLICATE COPY** - Unofficial, convenience copies of records, sometimes called "working" files. See also Convenience Files.

**FILING** - The process of arranging and sorting records so they may be retrieved quickly when needed.

**INACTIVE RECORDS** - Records not used frequently, but which still must be retained in accordance with the retention schedule.



## **APPENDIX A**

---

**INDICATIVE ABSTRACT** - Designed to indicate the content of a document, essentially serving as a table of contents. This type of abstract is descriptive rather than substantive. It can not serve as a substitute for a full document.

**INFORMATIVE ABSTRACT** - Designed to capsule the document. This is the type seen in primary journals and often in the secondary services such as Chemical Abstracts. It can serve as a substitute for a complete document as it contains the principal objective(s) and scope, the methodology used, a summary of the results, and the principal conclusions.

**MEDIUM** - The material or substance on which information is recorded, such as paper, microform, magnetic disk or tape, or optical disk.

**MICROFORM** - A fine grain, high-resolution film containing an image greatly reduced in size from the original.

**NON-RECORD MATERIAL** - Papers (or other media) not meeting the requirement for a "record," such as publications and stocks of blank forms.

**OFFICE OF RECORD** - The group, department or office in a corporation responsible for maintaining the official records for the total record retention period.

**OPTICAL STORAGE (Digital)** - A high density, information storage medium in which digitally encoded information is written and read by means of a laser.

**PERSONAL RECORD** - A record belonging to an individual which has no content relevant to the corporation.

**RECORD CATEGORY** - Any group of related records which are normally used and filed as a unit and permit evaluation as a unit for retention scheduling purposes.

**RECORD COPY** - The official copy of a record which has the longest retention time.

**RECORD DISPOSAL** - The process of disposing of records no longer needed or required to be retained by the company, or the transfer of records to off-site storage and/or the transfer of records from one location to another.

**RECORD SERIES** - See Record Category.

**RECORDS** - Any generated or received paper, book, photograph, microform, map, drawing, chart, card, magnetic tape, or any copy or printout thereof.

**RECORDS CENTER** - An area that is utilized for the processing and organized storage of inactive, permanent, or vital records.

## **APPENDIX A**

---

**RECORDS COORDINATOR** - The individual within a department who is responsible for controlling the records generated and received by the department.

**RECORDS MANAGEMENT** - The systematic control of all records required in the operation of a business, assuring that needless records will not be created or kept and that valuable records will be retained and will be easily accessible when needed. Also, all decentralized records management groups within the Company.

**RECORDS TRANSFER** - Moving records to the inactive storage facility on a regular schedule, when they become no longer active, or to protect them as vital records.

**RETENTION SCHEDULE** - A listing for each department of all records it processes or maintains. The schedule documents actions to be taken relating to the disposition of records, including periodic transfer to storage, protection methods necessary, and final disposition or retention.

**SIGNATORY DOCUMENTS** - Document which are the finished or official form for the permanent document collection or for The Central File collection.

**TEXTUAL DOCUMENTS** - Any document that contains text or text and data. It can be considered as any instrument bearing a message and not consisting of a collection of pure numeric data. They usually include interpretations, conclusions, etc. concerning the subject matter being discussed.

**UNIFORM CLASSIFICATION SYSTEM** - The coding of file folders into a logical systematic order using an alphabetical and numeric code scheme.

**VITAL RECORDS** - Records that are essential to resume or continue business in the event of some kind of disaster, such as those necessary to resume and/or continue basic business operations; to re-create the legal and financial status of the company; and to fulfill obligations to stockholders, employees and outside business interests.

**VITAL RECORDS CENTER** - A facility with special fire and humidity controls for the preservation and protection of vital records, geographically distant from the building which houses the original records.

**WORKING FILES** - See Convenience Files and Duplicate Copies.

2054911814

**APPENDIX B**

**DEPARTMENTAL RETENTION SCHEDULE**

**2054911815**

ISSUED: 03/15/91

9-4

REVISED:

PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	<u>Retention Period (in years)</u>		
	Local	Central File	Official Location
Smoking and Health Documents	2	P	Central File
650's - Capital Appropriation Request Forms	1	0	Finance
Absentee Reports	1	0	Employee Relations
Accident Reports	1	P	ER/CF
Air Freight Bills	1	0	Finance
Analysis Requests	1	2	Central File
Analytical Research Division (ARD) Methods Manual	Sup	P	Central File
Annual Method Development File	1	P	Central File
Annual Plans	1	P	Central File

DEPT. NO./COST CENTER: 050-2R4

SHEET 1 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

2054911816

PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	<u>Retention Period (in years)</u>		
	Local	Central File	Official Location
Art Committee	1	P	Central File
Associations & Memberships	1	2	Central File
Benefit Information	1	0	Employee Relations
Beverage Research Center - History	0	P	Central File
Bill of Materials	2	0	
Bills of Lading	1	0	Finance
Blueprints	Sup	0	Dev. Engineering
Budgets/Expenses	1	0	Finance
Building & Grounds - Construction & Expansion	1	P	Central File

DEPT. NO./COST CENTER: 050-2R4

SHEET 2 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

2181161502

PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	<u>Retention Period (in years)</u>		
	Local	Central File	Official Location
Building & Grounds - Laboratory Items	1	P	Central File
Building & Grounds - Maintenance	1	2	Central File
Calendars	1	0	
Capital Assets	2	0	Finance
Capital Equipment Data File	1	P	Central File
Capital Forecasts	1	5	Finance/CF
Capital Items Justification	1	5	Central File
Cash Vouchers	1	0	Finance
Chemical Spill Team - Accident Reports	1	P	E&EP/CF

DEPT. NO./COST CENTER: 050-2R4

SHEET 3 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

8181161502

PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	Retention Period (in years)		
	Local	Central File	Official Location
Chemical Spill Team - General	1	5	Central File
Chemical Tracking	2	P	Central File
Chemical Waste Manifest	1	P	Central File
Cigarette Intelligence Reports	1	P	Central File
Cigarette Reports & Specifications	1	P	Central File
COE - Cooperative Office Education Evaluations	1	2	Central File
Computer Instructions, Manuals	Sup	0	CAD
Conference Notes	1	2	Central File
Construction	1	P	Central File

DEPT. NO./COST CENTER: 050-2R4

SHEET 4 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

6181164502

PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	<u>Retention Period (in years)</u>		
	Local	Central File	Official Location
Consultant File	1	P	Central File
Continuing Fellowship	1	P	Central File
Correspondence - General	1	2	Central File
Correspondence - Technical	1	P	Central File
CR File	P	P	Central File
Credit Union	1	0	
Data Reports - UCC log	2	0	CAD
Emergency Response Team	1	5	Central File
Employee Recreation Association (ERA)	1	2	Central File

DEPT. NO./COST CENTER: 050-2R4

SHEET 5 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

028116F90Z



PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	<u>Retention Period (in years)</u>		
	<u>Local</u>	<u>Central File</u>	<u>Official Location</u>
Engineering Services	1	P	Central File
Engineering Standards	Sup	0	Dev. Engineering
Equipment	Sup	0	Finance
Evening Seminar Committee	1	P	Central File
Expense Analysis	1	0	Finance
Expense Forecasts	1	0	Finance
Expense Statements	1	0	Finance
Expired Lease Data	1	0	Finance
Facility	1	5	Central File

DEPT. NO./COST CENTER: 050-2R4

SHEET 6 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

1281167502

PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	<u>Retention Period (in years)</u>		
	<u>Local</u>	<u>Central File</u>	<u>Official Location</u>
Fire Team - General	1	5	Central File
Fire Team - Inspection Reports	1	2	Central File
First Aid Team - Accident Reports	1	P	Central File
First Aid Team - General	1	5	Central File
Five Year Plan	1	P	CF/Finance
General Export Blend Report	1	5	Central File
HTI - Home Testing Institute	1	P	Central File
Holiday Schedules	1	2	Central File
Inspection Reports	1	2	Central File

DEPT. NO./COST CENTER: 050-2R4

SHEET 7 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

2054911822

PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	<u>Retention Period (in years)</u>		
	Local	Central File	Official Location
Internal Reports	1	P	Central File
Inventories - Capital Equipment	1	2	Central File
Invoices	1	0	Finance
Job Descriptions	Sup	0	
Job Orders	1	0	Finance
Laboratory Notebooks	Ter	P	Central File
Labor Relations	1	<u>P 0</u>	Employee Relations
Leases	1	0	Finance
Leave of Absence	1	2	Employee Relations

DEPT. NO./COST CENTER: 050-2R4

SHEET 8 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

2054911823

PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	Retention Period (in years)		
	Local	Central File	Official Location
Literature Searches	1	P	Central File
Log Sheets	2	0	
Manuals	Sup	0	
Manuscript Review Board	1	P	Central File
Materials & Equipment	Sup	0	
Mechanical Drawings	Sup	0	Dev. Engineering
Monthly Development Summaries	1	P	Central File
Monthly Reports	1	P	Central File
Operating Budget Data	1	P	Central File

DEPT. NO./COST CENTER: 050-2R4

SHEET 9 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

2054911824

PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	<u>Retention Period (in years)</u>		
	<u>Local</u>	<u>Central File</u>	<u>Official Location</u>
Overtime Sheets	1	0	Finance
Personnel	Ter	0	Employee Relations
Policies & Procedures	Sup	0	
Pilot Plant Run File	3	0	
Presentations - Internal	2	5	Central File
Program Documentation	Sup	5	CAD/CF
Program Objectives	1	P	Central File
Project File	1	P	Central File
Project Listing	1	P	Central File

DEPT. NO./COST CENTER: 050-2R4

SHEET 10 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

2054911825

PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	<u>Retention Period (in years)</u>		
	Local	Central File	Official Location
Project Review Committee	1	P	Central File
Project RL Run History	1	P	Central File
Promotions	1	P	CF/ER
Public Relations	3	0	MFG
Purchase Orders	1	0	MFG SVS
QA Analysis Reports	1	5	CF/MFG SVS
Radioactive Waste Records	1	P	Central File
Receiving Tickets	1	0	ASD ADM.
Requisitions	1	0	MFG SVS

DEPT. NO./COST CENTER: 050-2R4

SHEET 11 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

9281161902

PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	Retention Period (in years)		
	Local	Central File	Official Location
Resignations	1	0	Employee Relations
Resumes/Interview Notes	1	0	Employee Relations
Retirements	1	P	CF/ER
Richmond Panel Results	1	P	Central File
Safety Committee - General	1	5	Central File
Safety Committee - Inspection Reports	1	2	Central File
Salaried Employee File	Ter	0	Employee Relations
Security	1	0	Employee Relations
Seminars and Conferences	1	0	

DEPT. NO./COST CENTER: 050-2R4

SHEET 12 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

2281167902

PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	Retention Period (in years)		
	Local	Central File	Official Location
Service Requests	2	0	
Shipping Requests	2	0	
Smoke Methodology	1	P	Central File
Standing Orders	1	0	MFG SVS
Subcontracts	3	0	
Submittals & Specifications	Sup	0	
Summer Employment	3	0	Employee Relations
Tobacco Analysis Log Books	10	0	
Training & Development	2	0	Employee Relations

DEPT. NO./COST CENTER: 050-2R4

SHEET 13 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

8281161502



PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	<u>Retention Period (in years)</u>		
	<u>Local</u>	<u>Central File</u>	<u>Official Location</u>
Transfers	1	P	CF/ER
Trip Reports	1	P	Central File
Union Information	3	0	
Vacation Schedules	1	0	
Vendor Reports	1	0	(ASD) ADM
Visitors & Tours	1	2	Central File
VJAS - Virginia Junior Academy of Science	1	2	Central File
Warehouse/Storage - Central File	0	Sup	Central File
Weekly Reports	1	2	Central File

DEPT. NO./COST CENTER: 050-2R4

SHEET 14 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

6281161502

PHILIP MORRIS USA  
RECORDS RETENTION SCHEDULE  
RESEARCH AND DEVELOPMENT DEPARTMENT

Issued

19

Type of Record	Retention Period (in years)		
	Local	Central File	Official Location
Work Orders	1	0	ADM ASD <del>R&amp;D ADM</del>
DEPT. NO./COST CENTER: 050-2R4			SHEET 15 OF 15

KEY TO RETENTIONS: Sup = Until Superseded; TER = Until Terminated

AUTHORIZATION: Section Leader (TIS): \_\_\_\_\_ Date: \_\_\_\_\_

Vice President (R&D): \_\_\_\_\_ Date: \_\_\_\_\_

Legal Counsel: \_\_\_\_\_ Date: \_\_\_\_\_

0881161902

## APPENDIX C

### SUSPENSION OF DISPOSAL AS TO CERTAIN CATEGORIES OF RECORDS

#### A. RECORDS POTENTIALLY RELATED TO SMOKING AND HEALTH

All records which might be claimed to be related to issues involved in smoking and health litigation must be identified and retained until a determination is made that they are no longer needed. Until such time, the regular Philip Morris Records Management requirements as to such records are suspended.

All records in the Research and Development Department are potentially relevant to smoking and health litigation and therefore must be retained. The normal record retention schedules apply to records which do not come within these guidelines. If there is any question about whether the contents of a record might pertain to the smoking and health litigation, the document must be retained, pending consideration of the Legal Department.

BAR CODE

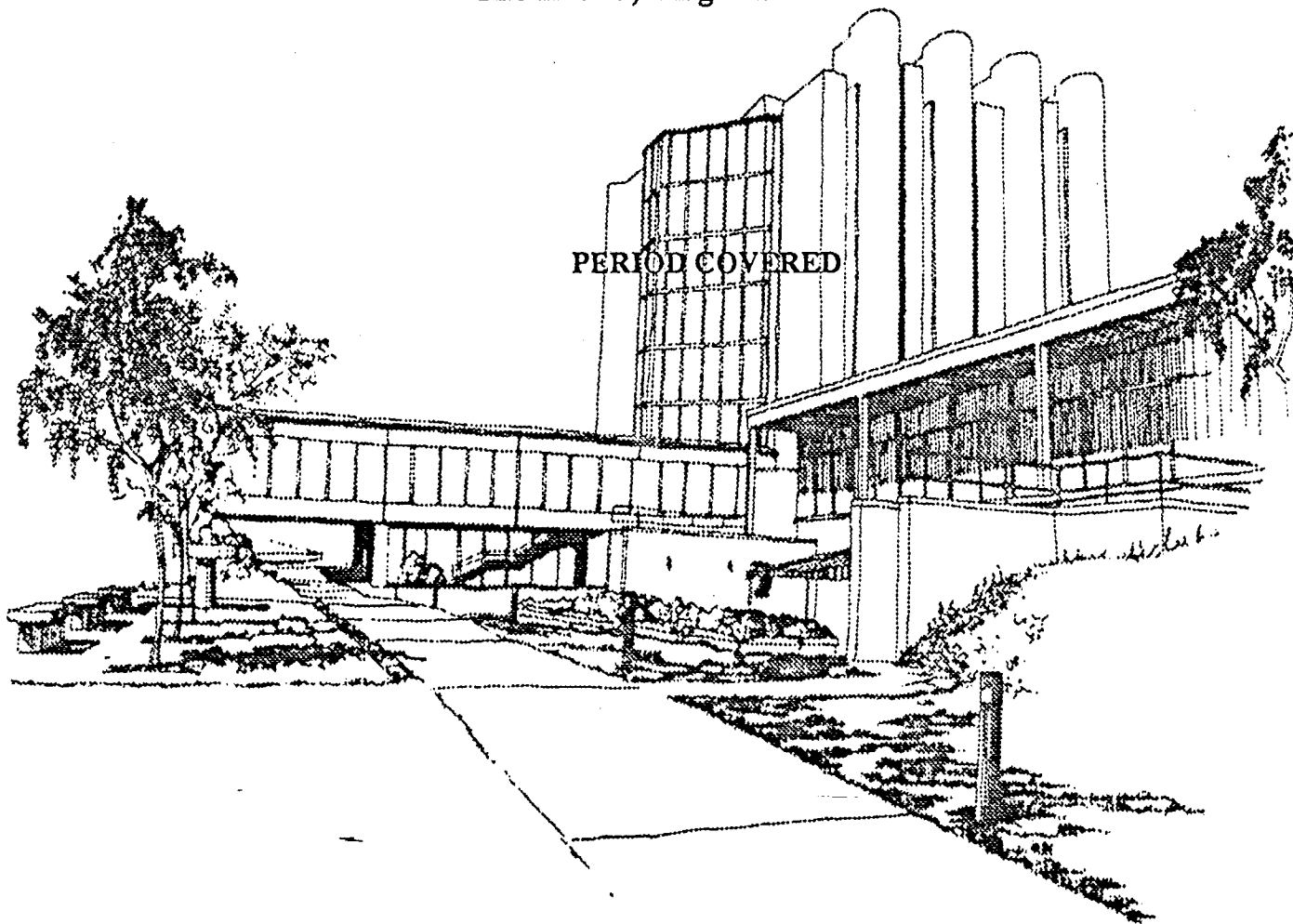
ACCESSION NUMBER

ISSUED TO

## PHILIP MORRIS USA

Research Center  
Richmond, Virginia

PERIOD COVERED



THIS REPORT IS CONFIDENTIAL TO THE BUSINESS OF THE COMPANY; IT HAS BEEN ASSIGNED TO YOU, IT IS NOT TRANSFERABLE AND MUST NOT BE PHOTOCOPIED.

IF THE REPORT HAS SERVED ITS PURPOSE AND IS NO LONGER NEEDED, PLEASE RETURN IT TO THE CENTRAL FILE AT THE RESEARCH CENTER FOR RECORD KEEPING AND DESTRUCTION.

DATE ISSUED: \_\_\_\_\_

2054911832

## APPENDIX E

### FORMAT FOR THE MONTHLY PROGRESS REPORT ("REDBOOK")

PROJECT NUMBER:  
PROJECT TITLE:  
PROJECT LEADER:  
PERIOD COVERED:

#### I. SUBJECT

- A. Objective:
- B. Results:
- C. Conclusions:
- D. Plans:
- E. References:

\* If Project Leader is not the actual author, the following is inserted as a heading after the "Project Leader" heading:

WRITTEN BY:

2054911833